

10/532540

JC13 Rec'd PTO 22 APR 2009

PTO/SB/08A (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

# **INFORMATION DISCLOSURE STATEMENT BY APPLICANT** (Use as many sheets as necessary)

## **Complete if Known**

Application Number	Not Yet Accorded
Filing Date	Not Yet Accorded
First Named Inventor	Andrew G. Norman
Art Unit	Not Yet Accorded
Examiner Name	Not Yet Accorded
Attorney Docket Number	NREL IR 01-09

Sheet 1 of 2

## **U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number-Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
/RK/	1	US- 5,354,707	10/11/1994	Chapple-Sokol et al.	
/RK/	2	US- 5,585,640	12/17/1996	Huston et al.	
/RK/	3	US- 5,607,876	03/04/1997	Biegelsen et al.	
/RK/	4	US- 5,614,435	03/25/1997	Petroff et al.	
/RK/	5	US- 5,627,382	05/06/1997	Canham et al.	
/RK/	6	US- 5,690,807	11/25/1997	Clark, Jr. et al.	
/RK/	7	US- 5,747,180	05/05/1998	Miller et al.	
/RK/	8	US- 5,804,475	09/08/1998	Meyer et al.	
/RK/	9	US- 5,830,538	11/03/1998	Gates et al.	
/RK/	10	US- 5,852,346	12/22/1998	Komoda et al.	
/RK/	11	US- 6,049,090	04/11/2000	Clark, Jr.	
/RK/	12	US- 2002/0079485 A1	06/27/2002	Stintz et al.	
/RK/	13	US- 2002/0126536 A1	09/12/2002	Forbes et al.	
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			

## **FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> Number Kind <sup>4</sup> Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>

Examiner Signature	Date Considered
--------------------	-----------------

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.usto.gov](http://www.usto.gov) or MPEP 801.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-788-9199) and select option 2.

PTO/SB/08B (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO  <h2 style="text-align: center;">INFORMATION DISCLOSURE STATEMENT BY APPLICANT</h2> <p style="text-align: center;">(Use as many sheets as necessary)</p>		<b>Complete if Known</b>	
		Application Number	Not Yet Accorded
		Filing Date	Not Yet Accorded
		First Named Inventor	Andrew G. Norman
		Art Unit	Not Yet Accorded
		Examiner Name	Not Yet Accorded
Sheet	2 of 2	Attorney Docket Number	NREL IR 01-09

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
/RK/	1	Norman, A.G. et al., "Phase Separation and Facet Formation During the Growth of (GaAs) <sub>1-2</sub> (Ge <sub>2</sub> ) <sub>x</sub> Alloy Layers by Metal Organic Vapor Phase Epitaxy," Inst. Phys. Conf. Ser. No. 164, 171 (1999), pgs. 171-174.	
/RK/	2	Norman, A.G. et al., "Ge-related Faceting and Separation During the Growth of Metastable (GaAs) <sub>1-2</sub> (Ge <sub>2</sub> ) <sub>x</sub> Alloy Layers by Metal--Organic Vapor Phase Epitaxy," Appl. Phys. Lett. 74, 1382 (1999)	
/RK/	3	Zakharov, N.D. et al., "Structure and Optical Properties of Si/InAs/Si Layers Grown by Molecular Beam Epitaxy on Si Substrate," Appl. Phys. Lett. Vol. 76, No. 19, pgs. 2667-2679 (2000).	
/RK/	4	Heitz, R. et al., "Optical Properties of InAs Quantum Dots in a Si Matrix," Appl. Phys. Lett. 74, 1701 (1999), Physica E7, 317 (2000)	

Examiner Signature	/Robert Kunemund/	Date Considered	03/16/2007
--------------------	-------------------	-----------------	------------

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.  
<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.  
 This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria VA 22313-450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 4450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.